

Customer No.	026418	
Attorney's Docket No.:	GK-ZEI-3149 / 500343.20150	
U.S. Application No.:	10/030,838	
International Application No.:	PCT/EP01/05081	
International Filing Date:	MAY 05, 2001	05 MAY 2001
Priority Date Claimed:	MAY 18, 2000	18 MAY 2000
Title of Invention:	OPTICAL OBSERVATION APPARATUS PROVIDED WITH A SYSTEM DELIVERING INFORMATION VISUALLY PERCEPTIBLE IN THE OBSERVATION BEAN PATH	
Applicant(s) for (DO/EO/US):	Tobias KAUFHOLD, Johannes KNOBLICH and Matthias JOHN	

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☐ 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and
- ☐ 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- ☐ 5. A copy of **Publication No. WO01/88591 22NOV01** ~~the International Application as filed~~ [35 U.S.C. 371(c)(2)]
- a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau)
- b) ☐ has been transmitted by the international Bureau
- c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
- ☒ 6. A translation of **Publication No. WO01/88591 22NOV01** ~~the International Application~~ into English [35 U.S.C. 371(c)(2)]
- ☐ 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
- a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau)
- b) ☐ have been transmitted by the International Bureau
- c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
- d) ☐ have not been made and will not be made
- ☐ 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
- ☒ 9. An Executed Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]
- ☐ 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

Items 11. to 16. Below concern other document(s) or information included:

- ☒ 11. A Supplemental Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
- ☐ 12. An Assignment document for recording. A separate cover sheet (PTO-1619A) in compliance with 37 CFR 3.28 and 3.31 is included.
- ☒ 13. ☒ A **FIRST** preliminary amendment
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment
- ☒ 14. A substitute specification and abstract (attached to the preliminary amendment)
- ☐ 15. A change of power of attorney and/or address letter
- ☒ 16. (other items or information) **371 Formalities letter dated March 28, 2002; PTO-1449 w/3 references; 3 English Abstracts and Marked-up / Bolded Versions of the Substitute Specification and Abstract.**

EXPRESS MAIL No.: **EV 049 321 650 US**

Deposited: **June 26, 2002**

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, DC 20231.


/Ruth Montalvo Date: **June 26, 2002**

CALCULATIONS

PTO USE ONLY

☐ 17. The following fees are submitted:**BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)]**

- | | | | |
|--------------------------|---|----|----------|
| <input type="checkbox"/> | Search Report has been prepared by the EPO or JPO..... | \$ | 890.00 |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO [37 CFR 1.482]..... | \$ | 710.00 |
| <input type="checkbox"/> | No International preliminary examination fee paid to USPTO [37 CFR 1.482]
but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... | \$ | 740.00 |
| <input type="checkbox"/> | Neither International preliminary examination fee [37 CFR 1.482] nor
International search fee [37 CFR 1.445(a)(2)] paid to USPTO..... | \$ | 1,040.00 |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO [37 CFR 1.482]
and all claims satisfied provisions of PCT Article 33(1)-(4)..... | \$ | 100.00 |

ENTER APPROPRIATE BASIC FEE AMOUNT:

Claims	Number Filed		Number Extra	Rate
Total Claims		-20		x \$ 18. =
Indep. Claims		-03		x \$ 80. =
<input type="checkbox"/> Multiple Dependent Claim(s) (if applicable)				+ \$ 270. =

TOTAL OF ABOVE CALCULATIONS:

Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 CFR 1.492(e)]	\$130.00
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TOTAL OF ABOVE CALCULATIONS: \$130.00

Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by 1/2 for filing by small entity

SUBTOTAL: \$130.00Processing fee of \$130.00 for furnishing the English Translation later than ☐ 20 ☐ 30 months from
the earliest claimed priority date [37 CFR 1.492(f)]**TOTAL NATIONAL FEE: \$1,020.00**Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied
by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property +**TOTAL FEE(S): \$130.00**AMOUNTS TO BE
REFUNDED OR CHARGED**REFUNDED
CHARGED** \$
\$~~(Please note the filing fee is based on the claims in the Preliminary Amendment)~~

- ☒
- Check in the amount of
- \$ 130.00**
- to cover the above fees is enclosed. (The Commissioner is hereby authorized to charge
-
- any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)

NOTE: Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a)
or (b)] must be filed and granted to restore the application to pending status.**SEND ALL CORRESPONDENCE TO:**

Gerald H. Kiel, Esq. (Customer No. 026418)
Reed Smith LLP
375 Park Avenue
New York, NY 10152

Gerald H. Kiel
Name (Tel. (212) 521-5400)

Signature

25,116
Reg. No.

June 26, 2002
Date

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02 FC:154

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UNITED STATES PATENT AND TRADEMARK OFFICE

 Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/030,838	Tobias Kaufhold	GK-ZEI-3149/500343.20150
INTERNATIONAL APPLICATION NO.		
PCT/EP01/05081		
I.A. FILING DATE	PRIORITY DATE	
05/05/2001	05/18/2000	

 026418
 REED SMITH LLP
 375 PARK AVENUE
 NEW YORK, NY 10152

CONFIRMATION NO. 4197

371 FORMALITIES LETTER



OC00000007724134

Date Mailed: 03/28/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 20 months months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

DOCKET

 DL: May 28, 2002 *extended Dead. Deadline*

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

DEBORAH D WILLIAMS

Telephone: (703) 305-3744

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/030,838	PCT/EP01/05081	GK-ZE1-3149/500343.20150

FORM PCT/DO/EO/905 (371 Formalities Notice)